## United States District Court

for the

Southern District of New York

| Securities and Exchange Commission                    | )<br>)<br>)                              |
|---|--|
| Plaintiff(s)<br>V.                                    | - ) ) Civil Action No. 18-Civ-8870 (VEC) |
| Goldsky Asset Management, LLC<br>and<br>Kenneth Grace | )<br>)<br>)                              |
| Defendant(s)  | )  |

## **SUMMONS IN A CIVIL ACTION**

To: (Defendant's name and address)

Kenneth Grace

16 Shipstern Street

Kingscliff, New South Wales 2487

Australia

A lawsuit has been filed against you.

Within 21 days after service of this summons on you (not counting the day you received it) — or 60 days if you are the United States or a United States agency, or an officer or employee of the United States described in Fed. R. Civ. P. 12 (a)(2) or (3) — you must serve on the plaintiff an answer to the attached complaint or a motion under Rule 12 of the Federal Rules of Civil Procedure. The answer or motion must be served on the plaintiff or plaintiff's attorney, whose name and address are: Jorge G. Tenreiro

U.S. Securities and Exchange Commission 200 Vesey Street, Suite 400 New York, N.Y. 10281

If you fail to respond, judgment by default will be entered against you for the relief demanded in the complaint. You also must file your answer or motion with the court.

CLERK OF COURT

| Date: _ | 10/03/2018 |                 | /s/ D. Howie                       |
|---------|------------|-----------------|------------------------------------|
|         |            | STATES DISTALLA | Signature of Clerk or Deputy Clerk |
|         |            |                 |                                    |
|         |            |                 |                                    |
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|         |            |                 |                                    |

AO 440 (Rev. 06/12) Summons in a Civil Action (Page 2)

Civil Action No. 18-Civ-8870 (VEC)

## PROOF OF SERVICE

(This section should not be filed with the court unless required by Fed. R. Civ. P. 4 (1))

|        |  | ne of individual and title, if an | ny)                             |       |  |  |  |
|--------|--|-----------------------------------|---------------------------------|-------|--|--|--|
| was re | ceived by me on (date)   |                                   | ·                               |       |  |  |  |
|        | ☐ I personally served the summons on the individual at (place)   |                                   |                                 |       |  |  |  |
|        |  | ; or                              |                                 |       |  |  |  |
|        | on (date) ; or  I left the summons at the individual's residence or usual place of abode with (name)   |                                   |                                 |       |  |  |  |
|        | , a person of suitable age and discretion who resides there,   |                                   |                                 |       |  |  |  |
|        | on (date), and mailed a copy to the individual's last known address; or  \[ \square \text{I served the summons on (name of individual)} \], designated by law to accept service of process on behalf of (name of organization) \], |                                   |                                 |       |  |  |  |
|        |  |                                   |                                 |       |  |  |  |
|        | designated by law to a   | accept service of process         |                                 | • • • |  |  |  |
|        |  |                                   | on (date)                       | , 01  |  |  |  |
|        | ☐ I returned the summ  | <u> </u>                          | ; or                            |       |  |  |  |
|        | ☐ Other (specify):   |                                   |                                 |       |  |  |  |
|        | My fees are \$   | for travel and \$                 | for services, for a total of \$ | 0.00  |  |  |  |
|        | I declare under penalty of perjury that this information is true.  |                                   |                                 |       |  |  |  |
| Date:  |  | _                                 |                                 |       |  |  |  |
|        | Server's signature   |                                   |                                 |       |  |  |  |
|        |  | _                                 | Printed name and title          |       |  |  |  |
|        |  | _                                 | Server's address                |       |  |  |  |

Additional information regarding attempted service, etc: